



APPLICATION FOR RECORDS RETENTION SCHEDULE

Georgia Department of Labor
Employment Security Agency
Administrative Services Division
Records Management and Controls

INSTRUCTIONS: The Records Management Officer of the Agency's Records Management and Controls Unit will be of assistance in completing this form. After Division Director/Designee has signed the form, forward original to Administrative Services Division, Records Management and Controls, 130 Memorial Drive, S. W., Atlanta, Georgia 30303. Attention: Records Management Officer

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Georgia Department of Labor Employment Security Agency Unemployment Insurance Division Investigation Section 501 Pulliam St, SW	Application Number 73-443-A	
Application Number		Date Received APR 20 1982	Date Completed MAY 6 1982
2. Person to Contact Pat Fridell		Working Title Chief	Telephone Number 656-3058
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 73-443 Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1973 Latest present	5. Records Series Title (followed by title used in office; if different) Overpayment and/or Prosecution Claims Files		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? Under the Employment Security Law of Georgia, the Unemployment Insurance Division requires all legal entities employing workers in Georgia to report wages and pay taxes to a trust fund on those wages, the Division subsequently pays wages to covered employees when they are out of work through no fault of their own. The Investigation Section is responsible for establishing overpayments on any benefits paid, and in determining the recovery of any overpayment by all reasonable efforts on benefits paid through error, administrative redetermination, or by fraud.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: investigation of claim files for overpayment Included are: Included are ESA forms 157 (Claims memorandum), two now obsolete forms 261 and 269, 299 (form letter), 420 (benefit check), 421 (claimant's rebuttal form), 443 (Determination under Section 16f, GA Employment Security Law), 471 (notice of overpayment), 474 privacy act notice, and 1900-1900C (certification sheets). File is arranged: by the last four digits of the recipients' social security number			
8. Monthly Reference Rate One to six months old 100 ; Seven to twelve months old 100 ; Thirteen to twenty-four months old 10 ; twenty-five months and older 10 ?			
9. Annual Rate of Accumulation of Records Letter-size drawers 5-8 @yr ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

(Over)

ESA-144 (3/80)
(AR-50-71)

YES	NO	10. Questionnaire (Place an "X" in the proper column)
✓		a. Is this the official copy of the series? If not, where is it?
✓		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
✓		c. Is this a vital record?
	✓	d. Does this series have historical or long term research value?
	✓	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	✓	f. Is the information contained in this series ever published? If yes, attach copy.
	✓	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	✓	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	✓	i. Is this series (or a major portion of it) regularly microfilmed?
	✓	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal Law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Per the Employment Security Manual, Section 7563, fraudulent overpayments may be collected under the Statute of Limitations up to 5 years; one additional year is needed if any cases are currently under court prosecution.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

- ☐ Calendar Year; ☐ Fiscal Year; ☒ Other At the closure of the then.

benefit year end

- ☒ Hold in the current files area 12 month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 4 year(s) retain until the satisfactory completion of all claims, litigation, or audits.
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Division Director/Designee (Signature)	Date		
ESA Director (Signature)	Date	Records Management Officer (Signature)	Date
			3/22/82
		State Records Committee (Signature)	Date
			5-4-82
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee		
	Secretary of State/Designee		4/28/82
	Attorney General/Designee		

(Reverse Side)



STATE
OF
GEORGIA

Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

PAGE
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1. Application Date 6/14/73	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No. 11		Date Received JUN 22 1973	Date Completed 73-443 JUN 28 1973
3. AGENCY, Division, Subdivision & Administering Office Address Ga. Dept. of Labor Labor Bldg., Atlanta, Ga. 30323 Employment Security Agency Unemployment Insurance Div. Investigation Section		4. Person to Contact Patrick A. Fridell	
		5. Working Title Chief	6. Tel. No. 656-3060

7. ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest Dates of Series
1966 - to Present

9. Exact Series Title
Overpayment and/or Prosecution Claims File

10. What is the function of the office in which this record series is created? The function of the Unemployment Insurance Div. is to implement the Ga. Employment Security Law which requires that legal entities employing workers in Ga. report and pay taxes on the wages of such employees; and to subsequently pay benefits to such covered workers when they are unemployed through no fault of their own when they comply with certain other requirements.
- The Investigation Section is responsible for establishing overpayments on and making all reasonable efforts to recover any such benefits paid through error, administrative redetermination or occasioned by fraud.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement). Documents relating to active overpayment and/or prosecution files where additional evidence is being sought.
- Included are ESA 433 (Determination under Section 16(f) Fraud), ESA Form 464 (Notice of Overpayment of Unemployment Insurance), ESA Form 466 (Receipt of Payment on Overpayment Account), Draft Accusations, Field Deputy Special Reports, Correspondence and other documentary evidence. This file is arranged alphabetically by claimant's last name.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers Cu. Ft. of Records	
Letter-size File Drawers	16	32		1	2
Legal-size File Drawers			Floor Space Occupied (Square Feet)	In Office(s) In Storage Area(s)	
				This Year's	Last Year's Preceding Year's All Prior Years
			AVERAGE DAILY REFERENCES	20	20 15 10

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

13. Is this the Record Copy of the series? [X] []
14. Is there a duplication of this series in another office or agency? [] [X]
15. Is the information contained in this series ever summarized or published? ☒ [X] []
Attach copy of summary or publication. *see below*
16. Does the series contain classified information requiring security handling? [X] []
17. Does the series initiate, amend or terminate agency policies and procedures? [] [X]
18. Could the function be performed if the files were lost or destroyed? [] [X]
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [] [X]
20. Does the record series provide data as input to an EDP file? [X] []
21. Does the record series contain documentation produced as EDP printout? [X] []
22. Has the Federal Government issued instructions governing the retention/disposition of these files? *See item 24* [X] []
23. Will there be a need for these records 10, 15 years from now? If yes, what? *See Item #25* [] []

24. **REQUIREMENTS.** The following requires the files to be kept at least 5 years:

Part V Employment Security Manual, Section 7563.

a. [] STATE LAW b. [] STATUTE OF LIMITATION c. [] AUDIT PERIOD d. ☒ FEDERAL LAW e. ☒ ADMINISTRATIVE DECISION f. [] HISTORICAL VALUE

(Cite Law, Statute, or other reason for the retention requirement)

The statute of limitations for collection of fraudulent overpayments is five (5) years. However additional retention is necessary for follow up of courts action and/or assistance to local court officials.

25. **AGENCY RECOMMENDATIONS.** This agency recommends that the file series be cut off at the end of each - [] CALENDAR YEAR - [] FISCAL YEAR - ☒ OTHER See below, then:

- [] Hold in the current files area _____ month(s)/ _____ year(s):
- [] Transfer to [] State Records Center [] Local Holding Area; hold _____ year(s):
- [] Destroy.
- [] Transfer to State Archives for permanent retention.
- [] Destroy immediately after cut-off.
- ☒ Other: (Specify)

*Published as "a case" only.

Item #23 - Need for these files may vary depending on how long the follow up action required on sentence of court
Upon closure of the case place all information on microfilm in the microfile claim file; then destroy paper originals.

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature) <i>John C. Arnold</i>	Date <i>6/14/73</i>	OTHER REQUIRED SIGNATURES	DATE
26. Recommendations in paragraph 25 are:	Agency Head/Designee [] Approved [] Disapproved	<i>Tom Rowe</i>	<i>5-18-73</i>
	State Auditor/Designee [] Approved [] Disapproved	<i>William M. Dyer</i>	<i>6-26-73</i>
	Secretary of State/Designee [] Approved [] Disapproved	<i>Carroll Hart</i>	<i>6-22-73</i>
	Attorney General/Designee [] Approved [] Disapproved	<i>Robert Sheel</i>	<i>6-26-73</i>

STATE RECORDS
COMMITTEE